

11-02-04

3628

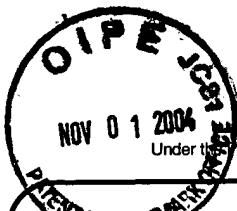
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PTO/SB/21 (04-04)

Approved for use through 07/31/2006. OMB 0651-0031



**TRANSMITTAL  
FORM**

*(to be used for all correspondence after initial filing)*

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application Number	09/500,624
		Filing Date	February 9, 2000
		First Named Inventor	Dean W. Amburn
		Art Unit	3628
		Examiner Name	Harish T. Dass
Total Number of Pages in This Submission		Attorney Docket Number	2425-000001

**ENCLOSURES (check all that apply)**

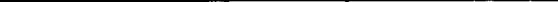
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to Technology Center (TC)		
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences		
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)		
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information		
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter		
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) <i>(please identify below):</i>		
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	<b>Applicant's Interview Summary; return postcard.</b>		
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____			
<input type="checkbox"/> Certified Copy of Priority Document(s)	<table border="1"> <tr> <td>Remarks</td> <td>The Commissioner is hereby authorized to charge any additional fees that may be required under 37 CFR 1.16 or 1.17 to Deposit Account No. 08-0750. A duplicate copy of this sheet is enclosed.</td> </tr> </table>		Remarks	The Commissioner is hereby authorized to charge any additional fees that may be required under 37 CFR 1.16 or 1.17 to Deposit Account No. 08-0750. A duplicate copy of this sheet is enclosed.
Remarks	The Commissioner is hereby authorized to charge any additional fees that may be required under 37 CFR 1.16 or 1.17 to Deposit Account No. 08-0750. A duplicate copy of this sheet is enclosed.			
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application				
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53				

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Harness, Dickey & Pierce, P.L.C.	Attorney Name Dean W. Amburn	Reg. No. 46,517
Signature			
Date	November 1, 2004		

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	DEAN W. AMBURN	Express Mail Label No.	EV 406 076 405 US (11/1/2004)
Signature		Date	November 1, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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EV 406 076 405 US



**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application No.: 09/500,624

Filing Date: February 9, 2000

Applicant: Dean Amburn

Group Art Unit: 3628

Examiner: Harish T. Dass

Title: Method And Apparatus For Automated Trading of  
Equity Securities Using A Real Time Data Analysis

Attorney Docket: 2425-000001

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Director of the United States Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

**APPLICANT'S INTERVIEW SUMMARY**

Sir:

An in-person interview regarding the above-cited application took place on October 8, 2004. During the interview, Applicant and Examiners Harish T. Dass and Hyung S. Sough discussed cited prior art references and Applicant's amended claims. Examiner Dass expressed concern about use of the term "mathematical function" in the claims as possibly indefinite. Applicant offered reasons why the claim terminology is not indefinite, including examples of how the system would work. Applicant also suggested that the system inherently would define variables that work within the mathematical functions as is routinely done in software applications. Examiner Sough suggested

possible amendments to further clarify the meaning of this terminology. No further agreement was reached on allowable subject matter.

Respectfully submitted,

Dated: 11/1/2004

By:   
Dean W. Amburn  
Reg. No. 46,517

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